Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Richman, Peter

Assistant Director, Mergers III, Federal Trade Commission

Report Year: 2023

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Richman, Peter [electronically signed on 04/03/2023 by Richman, Peter in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Pankey, Lorielle L, Certifying Official [electronically signed on 05/17/2023 by Pankey, Lorielle L in Integrity.gov]

Other review conducted by
/s/ Bannon, Craig, Ethics Official [electronically signed on 05/16/2023 by Bannon, Craig in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/16/2023

1. Filer's Positions Held Outside United States Government

None

2. Filer's Employment Assets & Income and Retirement Accounts

None

3. Filer's Employment Agreements and Arrangements

None

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ohr Kodesh Early Childhood Center	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Cash Account #1	N/A	$100,001 - $250,000	Interest	$2,501 - $5,000
2	US Cash Account #2	N/A	$15,001 - $50,000	Interest	$201 - $1,000
3	EL LAUDER ESTEE COS INC A	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
4	SGENX FIRST EAGLE GLOBAL FUND CLASS A	Yes	$15,001 - $50,000		None (or less than $201)
5	INTC Intel Corp	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
6	JNJ JOHNSON AND JOHNSON COM	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
7	NSC Norfolk Southern Corp	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
8	SBUX Starbucks Corp	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
9	T AT&T INC	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
10	VZ VERIZON COMMUNICATNS COM	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
11	XLE SECTOR SPDR ENERGY	Yes	$15,001 - $50,000		$1,001 - $2,500
12	XLI SECTOR SPDR INDUSTRIAL	Yes	$15,001 - $50,000		$201 - $1,000
13	XLP SECTOR SPDR CONSMRS STPL	Yes	$15,001 - $50,000		$201 - $1,000
14	XLV HEALTH CARE SELECT SPDR	Yes	$15,001 - $50,000		$1,001 - $2,500
15	XLY CONSUMER DISCRETIONARY SPDR	Yes	$15,001 - $50,000		$201 - $1,000
16	Unimproved Land San Luis Obispo, CA (Undivided Interest)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Limited Partnership - Camarillo Gateway Ltd, Camarillo, California (limited partnership unit). Commercial real estate rental property manager.	See Endnote	No	$15,001 - $50,000	Rent or Royalties	$1,001 - $2,500
18	Limited Partnership - Constitution Equity Ltd, II Camarillo, California (limited partnership unit). Commercial real estate rental property manager.	See Endnote	No	$15,001 - $50,000	Rent or Royalties	$2,501 - $5,000
19	IBB iShares Nasdaq Biotechnology Index Fund		Yes	$1,001 - $15,000		None (or less than $201)
20	US Cash Account #3		N/A	$15,001 - $50,000		None (or less than $201)
21	US Cash Account #4		N/A	$1,001 - $15,000		None (or less than $201)
22	IUSG ISHARES CORE S&P US GROWTH		Yes	$100,001 - $250,000		$1,001 - $2,500
23	IUSV ISHARES CORE S&P US VALUE		Yes	$100,001 - $250,000		$2,501 - $5,000
24	VEA VANGUARD FTSE DEVELOPED MARKETS		Yes	$100,001 - $250,000		$5,001 - $15,000
25	VWO VANGUARD FTSE EMERGING MARKETS		Yes	$50,001 - $100,000		$1,001 - $2,500
26	US Cash Account #5		N/A	$1,001 - $15,000		None (or less than $201)
27	FDN FIRST TR	See Endnote	Yes	None (or less than $1,001)		$1,001 - $2,500
28	FQMDX Franklin Maryland Tax Free Income	See Endnote	Yes	None (or less than $1,001)		None (or less than $201)
29	XLB MATERIALS SELECT SECTOR SPDR		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	XLC COMM SERVICES SELECT SPDR		Yes	$15,001 - $50,000		$201 - $1,000
31	ERBAX Eaton Vance Richard Bernstein Equity Strategy Fund Class A Shares (ERBAX)		Yes	$50,001 - $100,000		$201 - $1,000
32	VGT Vanguard Information Technology Index Fund ETF Class Shares (VGT)		Yes	$50,001 - $100,000		$201 - $1,000
33	VFH Vanguard Financials Index Fund ETF Shares (VFH)		Yes	$15,001 - $50,000		$201 - $1,000
34	SKYY First Trust Cloud Computing ETF (SKYY)		Yes	$1,001 - $15,000		None (or less than $201)
35	ONLN Proshares Online Retail ETF (ONLN)	See Endnote	Yes	None (or less than $1,001)		None (or less than $201)
36	FUTY Fidelity MSCI Utilities Index ETF (FUTY)		Yes	$1,001 - $15,000		$201 - $1,000
37	SRVR PACER BENCHMARK DATA AND INFRASTRUCTURE		Yes	$1,001 - $15,000		None (or less than $201)
38	College Investment Plan - Maryland 529		No		Cash Distribution	$9,713
38.1	Portfolio 2018		Yes	$50,001 - $100,000		None (or less than $201)
39	College Investment Plan 2 - Maryland 529		No			
39.1	Portfolio 2024		Yes	$100,001 - $250,000		None (or less than $201)
40	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)		Yes	$15,001 - $50,000		$201 - $1,000
41	iShares US Regional Banks ETF (IAT)		Yes	$1,001 - $15,000		None (or less than $201)
42	Global X US Infrastructure Development ETF (PAVE)		Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	Real Estate Select Sector SPDR Fund (XLRE)	Yes	$1,001 - $15,000		$201 - $1,000
44	SPDR S&P Transportation ETF (XTN)	Yes	$1,001 - $15,000		None (or less than $201)
45	US Cash Account # 6	N/A	$15,001 - $50,000		None (or less than $201)
46	VanEck Vectors Semiconductor ETF (SMH)	Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	VanEck Vectors Semiconductor ETF (SMH)	Purchase	02/11/2022	$1,001 - $15,000
2	First Trust Cloud Computing ETF (SKYY)	Purchase	02/11/2022	$1,001 - $15,000
3	iShares Core S&P US Growth ETF (IUSG)	Purchase	02/10/2022	$1,001 - $15,000
4	iShares Core S&P US Growth ETF (IUSG)	Purchase	02/10/2022	$1,001 - $15,000
5	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Purchase	02/10/2022	$1,001 - $15,000
6	iShares Core S&P US Growth ETF (IUSG)	Purchase	02/10/2022	$1,001 - $15,000
7	iShares Nasdaq Biotechnology ETF (IBB)	Purchase	02/11/2022	$1,001 - $15,000
8	Industrial Select Sector SPDR Fund (XLI)	Sale	02/11/2022	$1,001 - $15,000
9	Energy Select Sector SPDR Fund (XLE)	Sale	02/11/2022	$1,001 - $15,000
10	iShares Core S&P US Value ETF (IUSV)	Sale	02/10/2022	$1,001 - $15,000
11	Health Care Select Sector SPDR Fund (XLV)	Sale	02/11/2022	$1,001 - $15,000
12	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	02/11/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
13	iShares Core S&P US Value ETF (IUSV)	Sale	02/10/2022	$1,001 - $15,000
14	First Trust Dow Jones Internet Index Fund (FDN)	Sale	02/11/2022	$1,001 - $15,000
15	iShares Core S&P US Value ETF (IUSV)	Sale	02/10/2022	$1,001 - $15,000
16	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Purchase	02/10/2022	$1,001 - $15,000
17	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	04/06/2022	$15,001 - $50,000
18	Vanguard Information Technology Index Fund ETF Class Shares (VGT)	Purchase	04/14/2022	$1,001 - $15,000
19	Vanguard Financials Index Fund ETF Shares (VFH)	Purchase	04/06/2022	$1,001 - $15,000
20	Consumer Discretionary Select Sector SPDR Fund (XLY)	Purchase	04/06/2022	$1,001 - $15,000
21	Health Care Select Sector SPDR Fund (XLV)	Purchase	04/06/2022	$1,001 - $15,000
22	Communication Services Select Sector SPDR Fund (XLC)	Purchase	04/06/2022	$1,001 - $15,000
23	Industrial Select Sector SPDR Fund (XLI)	Purchase	04/06/2022	$1,001 - $15,000
24	First Trust Cloud Computing ETF (SKYY)	Purchase	04/06/2022	$1,001 - $15,000
25	Consumer Staples Select Sector SPDR Fund (XLP)	Purchase	04/06/2022	$1,001 - $15,000
26	VanEck Vectors Semiconductor ETF (SMH)	Purchase	04/14/2022	$1,001 - $15,000
27	iShares US Regional Banks ETF (IAT)	Purchase	04/06/2022	$1,001 - $15,000
28	iShares Nasdaq Biotechnology ETF (IBB)	Purchase	04/06/2022	$1,001 - $15,000
29	VanEck Vectors Semiconductor ETF (SMH)	Purchase	04/06/2022	$1,001 - $15,000
30	Materials Select Sector SPDR Fund (XLB)	Purchase	04/06/2022	$1,001 - $15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
31	Health Care Select Sector SPDR Fund (XLV)		Purchase	04/14/2022	$1,001 - $15,000
32	Consumer Discretionary Select Sector SPDR Fund (XLY)		Purchase	04/14/2022	$1,001 - $15,000
33	First Trust Dow Jones Internet Index Fund (FDN)		Purchase	04/06/2022	$1,001 - $15,000
34	Energy Select Sector SPDR Fund (XLE)		Purchase	04/06/2022	$1,001 - $15,000
35	Energy Select Sector SPDR Fund (XLE)		Purchase	04/14/2022	$1,001 - $15,000
36	SPDR S&P Transportation ETF (XTN)		Purchase	04/06/2022	$1,001 - $15,000
37	Proshares Online Retail ETF (ONLN)		Purchase	04/06/2022	$1,001 - $15,000
38	Consumer Staples Select Sector SPDR Fund (XLP)		Sale	04/14/2022	$1,001 - $15,000
39	Communication Services Select Sector SPDR Fund (XLC)		Sale	04/14/2022	$1,001 - $15,000
40	iShares Nasdaq Biotechnology ETF (IBB)		Sale	04/14/2022	$1,001 - $15,000
41	iShares US Regional Banks ETF (IAT)		Sale	04/14/2022	$1,001 - $15,000
42	First Trust Cloud Computing ETF (SKYY)		Sale	04/14/2022	$1,001 - $15,000
43	First Trust Dow Jones Internet Index Fund (FDN)		Sale	04/14/2022	$1,001 - $15,000
44	Franklin Maryland Tax-Free Income Fund Class A Shares (FQMDX)		Sale	04/01/2022	$50,001 - $100,000
45	Warner Bros. Discovery (WBD)	See Endnote	Exchange	04/18/2022	$1,001 - $15,000
46	Fidelity MSCI Utilities Index ETF (FUTY)		Purchase	05/16/2022	$1,001 - $15,000
47	Health Care Select Sector SPDR Fund (XLV)		Purchase	05/16/2022	$1,001 - $15,000
48	Real Estate Select Sector SPDR Fund (XLRE)		Purchase	05/16/2022	$1,001 - $15,000
49	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)		Purchase	05/16/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	iShares Core S&P US Growth ETF (IUSG)	Purchase	05/16/2022	$1,001 - $15,000
51	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/16/2022	$1,001 - $15,000
52	iShares Core S&P US Growth ETF (IUSG)	Purchase	05/16/2022	$1,001 - $15,000
53	VanguardEmerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	05/16/2022	$1,001 - $15,000
54	iShares Core S&P US Growth ETF (IUSG)	Purchase	05/16/2022	$1,001 - $15,000
55	Consumer Staples Select Sector SPDR Fund (XLP)	Purchase	05/16/2022	$1,001 - $15,000
56	iShares Core S&P US Value ETF (IUSV)	Sale	05/16/2022	$1,001 - $15,000
57	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Sale	05/16/2022	$1,001 - $15,000
58	Energy Select Sector SPDR Fund (XLE)	Sale	05/16/2022	$1,001 - $15,000
59	SPDR S&P Transportation ETF (XTN)	Sale	05/16/2022	$1,001 - $15,000
60	First Trust Cloud Computing ETF (SKYY)	Sale	05/16/2022	$1,001 - $15,000
61	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Sale	05/16/2022	$1,001 - $15,000
62	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	05/16/2022	$1,001 - $15,000
63	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	05/16/2022	$1,001 - $15,000
64	iShares Core S&P US Value ETF (IUSV)	Sale	05/16/2022	$1,001 - $15,000
65	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	05/16/2022	$1,001 - $15,000
66	iShares Core S&P US Value ETF (IUSV)	Sale	05/16/2022	$1,001 - $15,000
67	Industrial Select Sector SPDR Fund (XLI)	Sale	05/16/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	VanEck Vectors Semiconductor ETF (SMH)	Sale	05/16/2022	$1,001 - $15,000
69	Communication Services Select Sector SPDR Fund (XLC)	Sale	05/16/2022	$1,001 - $15,000
70	Materials Select Sector SPDR Fund (XLB)	Sale	07/15/2022	$1,001 - $15,000
71	Communication Services Select Sector SPDR Fund (XLC)	Purchase	07/15/2022	$1,001 - $15,000
72	Fidelity MSCI Utilities Index ETF (FUTY)	Purchase	07/15/2022	$1,001 - $15,000
73	Energy Select Sector SPDR Fund (XLE)	Purchase	07/15/2022	$1,001 - $15,000
74	iShares Nasdaq Biotechnology ETF (IBB)	Sale	07/15/2022	$1,001 - $15,000
75	First Trust Cloud Computing ETF (SKYY)	Sale	07/15/2022	$1,001 - $15,000
76	Consumer Staples Select Sector SPDR Fund (XLP)	Purchase	07/15/2022	$1,001 - $15,000
77	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	07/15/2022	$1,001 - $15,000
78	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	07/15/2022	$1,001 - $15,000
79	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/15/2022	$1,001 - $15,000
80	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	07/15/2022	$1,001 - $15,000
81	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	07/15/2022	$1,001 - $15,000
82	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	07/15/2022	$1,001 - $15,000
83	Vanguard Developed Markets Index Fund ETF Shares (VEA)	Purchase	07/15/2022	$1,001 - $15,000
84	Vanguard Emerging Markets Stock Index Fund ETF Shares (VWO)	Purchase	07/15/2022	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	iShares Core S&P US Value ETF (IUSV)	Purchase	07/15/2022	$1,001 - $15,000
86	Health Care Select Sector SPDR Fund (XLV)	Sale	09/29/2022	$1,001 - $15,000
87	Proshares Online Retail ETF (ONLN)	Sale	09/29/2022	$1,001 - $15,000
88	First Trust Cloud Computing ETF (SKYY)	Purchase	09/29/2022	$1,001 - $15,000
89	Consumer Discretionary Select Sector SPDR Fund (XLY)	Purchase	09/29/2022	$1,001 - $15,000
90	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Sale	11/02/2022	$1,001 - $15,000
91	iShares Core S&P US Value ETF (IUSV)	Sale	11/02/2022	$1,001 - $15,000
92	iShares Core S&P US Growth ETF (IUSG)	Sale	11/02/2022	$1,001 - $15,000
93	MD 529 plan: Portfolio 2018	Sale	08/15/2022	$1,001 - $15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	17	Only underlying asset is commercial real estate in Camarillo, California

PART	#	ENDNOTE
6.	18	Only underlying asset is commercial real estate in Camarillo, California
6.	27	No longer held
6.	28	No longer held
6.	35	No longer held
7.	45	I own AT&T stock. In early April 2022, AT&T spun-off its WarnerMedia business and AT&T shareholders received temporary shares of WarnerMedia Spinco stock. WarnerMedia and Discovery Communications then merged to form Warner Bros. Discovery (WBD). The WarnerMedia Spinco stock was exchanged for WBD stock

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than $200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than $1,000 or (2) from which more than $200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than $5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than $1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than $200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than $1,000 or (2) from which more than $200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than $1,000 or (2) from which more than $200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of $5,000 or less (unless more than $200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of $1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over $10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed $10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of $166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE) Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
